

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: **Ashley et al.**§ Group Art Unit: **Unknown**

Serial No.: \_\_\_\_\_

§

§ Examiner: **Unknown**

Filed: \_\_\_\_\_

§

§ Attorney Docket No.: **AUS920030169US1**

For: **Method and system for stepping up to  
certificate-based authentication without  
breaking an existing SSL session**

§

§

§

§

§

## INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. 1.97

Applicants request that the information listed on the attached Form PTO-1449 be considered by the Office during the pendency of the above entitled application, pursuant to 37 C.F.R. 1.97.


This Information Disclosure Statement is being filed under 37 C.F.R. § 1.97(b) within three months of the filing date of the application, or before the mailing date of a first office action on the merits. No fee or certification is required.

In accordance with 37 C.F.R. 1.97(h), the filing of this Information Disclosure Statement shall not constitute an admission that any information cited therein is, or is considered to be, material to patentability as defined in 37 C.F.R. 1.56(b). In the interest of full and complete disclosure to the Office, some or all of the art cited herein may not be considered by Applicant(s) or the Undersigned to be material under the new standards of materiality defined in 37 C.F.R. 1.56(b), enacted March 16, 1992, but may be material under the old standard of materiality defined in 37 C.F.R. 1.56(a), last amended on November 28, 1988, or may merely be technical background which may be of interest to the Examiner.

In accordance with 37 C.F.R. 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 C.F.R. 1.56(a) exists.

Date: June 30, 2003

Respectfully submitted,

  
\_\_\_\_\_  
Joseph R. Burwell  
Reg. No. 44,468  
ATTORNEY FOR APPLICANT

Law Office of Joseph R. Burwell  
P.O. Box 28022  
Austin, Texas 78755-8022  
voice: (866) 728-3688 (866-PATENT8)  
fax: (866) 728-3680 (866-PATENT0)  
email: joe@burwell.biz

<b>Form PTO-1449</b> <b>LIST OF PRIOR ART CITED</b> <b>BY APPLICANT</b> <i>(Use several sheets if necessary)</i>		ATTORNEY DOCKET NO. <b>AUS920030169US1</b>		SERIAL NO.	
APPLICANT <b>Ashley et al.</b>					
FILING DATE				GROUP ART UNIT	

U.S. PATENT DOCUMENTS					
EXAMINER INITIAL	DOCUMENT NO.	PUBLICATION DATE	INVENTOR NAME	CLASS/ SUBCLASS	FILING DATE
	6,094,485	07/25/2000	Weinstein et al.	380/30	
	US 6,363,478 B1	03/26/2002	Lambert et al.	713/151	
	US 6,367,009 B1	04/02/2002	Davis et al.	713/166	
	US 2002/0166048A1	11/07/2002	Coulter	713/169	
	US 2003/0018886	01/23/2003	Kuehr-McLauren et al.		

FOREIGN PATENT DOCUMENTS					
EXAMINER INITIAL	DOCUMENT NO.	PUBLICATION DATE	COUNTRY	CLASS/ SUBCLASS	TRANSLATION YES NO
	JP 2001-237820A	08/31/2001	Japan		
	WO 01/80479 A1	10/25/2001	WIPO		

OTHER PRIOR ART (including author, title, date, pertinent page, etc.)	
✓	"DFS as an Internet File System", Number 409114, <i>Research Disclosure</i> , p. 625, May 1998.
✓	"A customizable mechanism for generating an X.500 distinguished name, when a client has not presented an X.509 certificate", Number 448125, <i>Research Disclosure</i> , p. 1400, August 2001.
✓	"Shared cipher spec protocol", Number 432173, <i>Research Disclosure</i> , p. 776, April 2000.
✓	Wen et al., "Attacks on Authentication Protocols with Compromised Certificates and How to Fix Them", <i>IPSJ Journal</i> , v. 41, n. 8, pp. 2110-2120, August 2000.
✓	Hayes, "Restricting Access with Certificate Attributes in Multiple Root Environments: A Recipe for Certificate Masquerading", <i>17th Annual Computer Science Applications Conf.</i> , 12/10/2001.
✓	Park et al., "RBAC on the Web by Smart Certificates", <i>Proceedings of the 4th ACM Workshop on Role-Based Access Control</i> , pp. 1-9, 1999.
✓	Zhou et al., "COCA: A Secure Distributed Online Certification Authority", <i>ACM Transactions on Computer Systems</i> , v. 20, n. 4, pp. 329-368, 11/2000.
✓	Godber et al., "Secure Wireless Gateway", <i>ACM Workshop on Wireless Security</i> , pp. 41-46, 09/2002.

DATE CONSIDERED	EXAMINER
-----------------	----------

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP § 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.